

Notice of Meeting

East Surrey Shadow Authority Audit and Governance Committee

<u>Date and Time</u>	<u>Place</u>	<u>Contact</u>
Monday, 2 November 2026 at 2.00 pm	Council Chamber, Epsom Town Hall, KT18 5BY	democraticservices@epsom- ewell.gov.uk
	Online access to this meeting is available on YouTube: Link to online broadcast	

Committee members

Councillors Councillor Tim Snuggs (Chair), Councillor Stephen McKenna (Vice-Chair), Councillor Nick Abear, Councillor Alex Coomes, Councillor Eva Ferlez, Councillor Fran Fish, Councillor Lynne Fletcher, Councillor Wendy Gibbs, Councillor Nick Greenfield, Councillor Joshua Lambert, Councillor Barry Maguire, Councillor Alan Parker, Councillor Jeremy Pursehouse, Councillor Andrew Stevens and Councillor Jolanta Waugh

MEETING SUMMONS

To the members of the East Surrey Shadow Authority Audit and Governance Committee:

You are hereby summoned to attend a meeting of the East Surrey Shadow Authority Audit and Governance Committee to be held on Monday, 2 November 2026 at 2.00 pm, for the transaction of the business set out in the following agenda.

Such meeting to be held in the Council Chamber, Epsom Town Hall, KT18 5BY. Online access to this meeting is available on YouTube: [Link to online broadcast](#)

For enquiries regarding this agenda contact: democraticservices@epsom-ewell.gov.uk

Daniel Bainbridge
Interim Monitoring Officer
East Surrey Shadow Authority
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AGENDA

1 APOLOGIES FOR ABSENCE

2 DECLARATIONS OF INTEREST

All Members present are required to declare, at this point in the meeting or as soon as possible thereafter:

- (i) any disclosable pecuniary interests and / or
- (ii) other interests arising under the Code of Conduct

in respect of any item(s) of business being considered at this meeting.

3 MINUTES OF THE PREVIOUS MEETING

(Pages
7 - 16)

The Committee is asked to confirm as a true record the Minutes of the Meeting of the Committee held on 2nd September 2026 (attached) and to authorise the Chair to sign them.

4 EAST SURREY COUNCIL CONSTITUTION: FINANCIAL PROCEDURE RULES AND CONTACT & PROCUREMENT PROCEDURE RULES

(Pages
17 - 98)

This report presents the proposed Finance Procedure Rules and the Procurement and Contract Procedure Rules to the Shadow Audit & Governance Committee for consideration and endorsement prior to inclusion in the draft Constitution for East Surrey Council.

Section 9P of the Local Government Act 2000 requires every local authority to prepare, maintain, and keep up to date a formal constitution. This document controls how the local council operates, makes decisions, and handles its governance. It is therefore essential that the unitary authority of East Surrey establish new Procedure Rules ahead of vesting day on 1st April 2027.

The Finance and the Procurement and Contract Procurement Rules (“the Rules”) importantly set out arrangements for how the council:

- governs the manner in which the financial activity is conducted and its financial interests are safeguarded; and
- authorises and manages expenditure and resulting commercial contracts with other organisations.

5 RISK MANAGEMENT APPROACH FOR EAST SURREY COUNCIL

(Pages
99 -
140)

The purpose of this report is to set out the proposed approach to Risk Management for East Surrey Council (ESC) for consideration and approval.

This report sets out the minimum viable arrangements that enable ESC to have oversight of corporate risk (the most significant risks to the organisation in the delivery of its Council Strategy and priorities), to have awareness of corporate risks inherited from legacy councils, assurance that legacy council service risks are being managed effectively, and that risk escalation arrangements are in place. A suite of draft tools is provided that would enable the development of a Corporate Risk Register as organisational and governance arrangements develop.

Apart from the management of corporate risk and escalation arrangements, legacy councils would continue to operate according to their current risk management policies and frameworks post-vesting day.

Harmonisation of service risks, risk matrices, systems and other arrangements would take place post-vesting day as services and organisational structures stabilise. A comprehensive Risk Management Framework would be developed, including elements such as risk appetite and risk tolerance.

The recommendations in this report provide a proportionate and deliverable approach to risk management ahead of vesting day.

6 UPDATE ON THE PROVISION OF INTERNAL AUDIT ACTIVITIES TO EAST SURREY COUNCIL

(Pages
141 -
154)

This report provides the East Surrey Shadow Audit & Governance Committee with a brief introduction to the role and purpose of internal audit, the committee's responsibilities with regard to internal audit and a high level overview of how it is proposed these arrangements will work for East Surrey Council from 1 April 2027.

The Committee are also asked to agree to the proposal to provide a detailed and interactive workshop/training session for the committee, ahead of Vesting Day, covering all aspects of internal audit work.

7	RETROSPECTIVE COMPLAINTS REPORTING APPROACH - 2026/27	(Pages 155 - 162)
	The purpose of this report is to advise the Audit & Governance Committee of the 2026/27 retrospective annual complaints reporting approach for legacy councils following Vesting Day. Annual complaints reports for the 2026/27 reporting year cannot be completed until after the legacy councils and their usual governance routes have ceased. The Committee is asked to note that three statutory annual complaints reports will be produced for Housing, Adult Social Care and Children's Social Care only. Historic Corporate complaints data will be retained for future reference, analysis and benchmarking.	
8	FORWARD WORK PROGRAMME 2026-27	(Pages 163 - 164)
	The Committee is requested to note its forward work programme for 2026-27.	

PLEASE NOTE: members of the public are able to attend the meeting in person. The meeting will also be broadcast online on YouTube: [Link to online broadcast](#).

The whole of the meeting will be filmed except where there are confidential or exempt items. In attending any meeting, you are recognising that you may be filmed and consent to the live stream being broadcast online, and available for others to view.

Members of the press/public may film or record proceedings, blog or tweet proceedings and take photographs providing they do not disturb the conduct of the meeting. The Chair of the meeting has the discretion to terminate or suspend filming/recording if in her/his opinion continuing to do so would prejudice the proceedings of the meeting or, on advice, considers that continued filming/recording might infringe the rights of any individual.

EMERGENCY EVACUATION PROCEDURE

No emergency drill is planned to take place during the meeting. If the fire alarm sounds continuously, or if you are instructed to do so, you must leave the building by the nearest available exit. You will be directed to the nearest exit by council staff. It is vital that you follow their instructions.

- You should proceed calmly; do not run and do not use the lifts;
- Do not stop to collect personal belongings;
- Once you are outside, please do not wait immediately next to the building, but move to the assembly point at Dullshot Green and await further instructions; and
- Do not re-enter the building until told that it is safe to do so.